

INSTRUCTIONS TO FORM NF

Form NF should be used for investment company initial filings, renewals, amendments and sales reports. This form should be used for all filing options, including definite and indefinite filings.

ITEM 1. Name of Issuer: State the name of the investment company for which the notice filing is being made. Do not use the name of the broker-dealer or distributor.

ITEM 3. Amendment Filings: Provide the applicable information. However, it may not be necessary to complete the entire form. Amendments include changes in the correspondent or fund name or a new fiscal year end. Changes such as reorganizations should be reported under "Other", with a written explanation. If in doubt about the proper category, use "Other" and provide an explanation.

ITEM 4. Description of Securities: This information should be provided at the level necessary in the given state. For example, if the state is a "trust level" state, portfolio and class information may not be required. A separate Form NF should be filed for each portfolio or class, to the extent required by the given state. Attach a list of all portfolios or classes for "trust level" states. For states whose fees are based on the prospectus, a separate Form NF should be filed for each prospectus and should include a list of all securities listed in the prospectus.

ITEM 6. CIK number (EDGAR): Please provide the Central Index Key Number that will cross-reference the SEC filing. **Federal ID Numbers and SEC Registration Numbers:** Federal identification numbers are only available for the fund or trust. Provide the Federal ID No. and SEC Registration No. if filing in a jurisdiction that requires these numbers. **Fiscal Year:** Fiscal year information is not required for unit investment trusts, since the filing period runs concurrently with SEC effectiveness.

ITEM 7. Notice Period: The notice period is established by law, administrative regulation or policy in some jurisdictions. As a result, one or more of the three options provided on the form may not be available in each jurisdiction. In addition, if the issuer elects to begin the notice filing period on the date of SEC effectiveness, the notice period will end on the date that a renewal filing is required.

ITEM 12. Uniform Consent to Service of Process: The uniform consent to service of process form is separate from the Notice Filing Form (Form NF). Issuers shall use the Uniform Consent to Service of Process Form (Form U-2).

PROSPECTUS AND STATEMENT OF ADDITIONAL INFORMATION. In some jurisdictions, you may be required by law, administrative regulation or policy to file the Form NF with a prospectus and/or statement of additional information.

UNIFORM INVESTMENT COMPANY NOTICE FILING

Please Read Instructions Prior To Filling Out Form State File No.

Notice to the State/Commonwealth of ____

1. Name of Issuer

2. Address

3. Type of Filing: (check all that apply)

<input type="checkbox"/> Open-end Mutual Fund	<input type="checkbox"/> Unit Investment Trust	Closed-end Mutual Fund
Initial Filing	<input type="checkbox"/> Renewal Filing	Amendments
<input type="checkbox"/> Exemption Filing	<input type="checkbox"/> Termination	<input type="checkbox"/> Withdrawal
<input type="checkbox"/> Sales Report	<input type="checkbox"/> Increase Dollar Amount	
Other (specify)		

For name changes, provide former name:

For amendments, specify nature of the change(s): __

4. Description of Securities(e.g. Shares of beneficial interest):__

Name of Fund____

Portfolio(s) __

Class(es)

Fiscal Year End of the issuer (if applicable) ____

Are all of the securities described on this form offered in one prospectus? Yes [] No []

5. Contact Person:

Name ____ Firm ____

Address ____

City ____ State ____

ZIP ____ Telephone ____

FAX: ____ E-Mail ____

6. CIK# (EDGAR) ____ Federal ID# (if applicable) ____

Broker-Dealer: ____ SEC Registration No.(if applicable) ____

Broker Dealer's CRD No. ____ State of Incorporation/Charter ____

Portfolio ____

Class ____

7. ☐ Notice Period: Beginning Date: ____ Ending Date: ____

☐ The issuer elects to have its notice filing made effective upon filing. ____

☐ The issuer elects to have its notice filing period begin with SEC effectiveness and thereby agrees to provide the above state prompt notice of such effectiveness.

8. Notice Fee: \$ ____ ☐ No Filing Fee Required

Sales Report Fee (if applicable) \$ ____

Other Fee \$ ____ Explain ____

9. To determine the basis used for calculating the filing fee, provide the following:

☐ Indefinite Amount ☐ Definite Amount \$ ____

☐ ____ Exemption Filing Net Assets: \$ ____

10. For filings to increase the dollar amount of securities reported during the notice period, provide the following:

(1) Previous Amount of Securities ____

(2) Amount of Increase ____

(3) Cumulative Amount of Securities ____

11. SALES REPORT [To the extent not applicable, place N/A in the blank(s)]

Period Covered: Beginning date: ____ Ending: ____

Balance at beginning of period \$ _____

Additional Increases during period \$ ____

Amount available for sale \$ _

Sales during the period \$ ____

Unsold balance at end of period \$ ____

12. UNIFORM CONSENT TO SERVICE OF PROCESS (select one)

1. ☐ Was previously filed with this state with respect to the issuer of the securities covered for the securities covered by this notice and is incorporated by reference
2. ☐ Is attached.
3. ☐ Not Applicable (explain):

13. SIGNATURES

The undersigned under penalties of perjury certifies that s/he has executed this Uniform Investment Company notice on behalf of, and with the authority of the issuer. The undersigned and the issuer represent that the information and statements contained in the notice filed, are current, true and complete to the best of his or her knowledge, information and belief and that any documents submitted with the notice are true copies of the originals, and that the securities covered by this Notice are Covered Securities as defined by Section 18(b)(2) of the Securities Act of 1933.

Dated this _ _ day of _ _ , ____
Month Year

For: ____	By: _____
Name of Issuer	Signature of Authorized Agent of Issuer
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Print Name	Title of Agent for Issuer

The filing of this notice constitutes a binding agreement by the above-named issuer and under the laws of the jurisdiction in which this Form is filed, that upon receipt of a request from such jurisdiction, the issuer will promptly provide a copy of its current prospectus, and/or statement of additional information, and/or any other document, if any, as filed with the Securities and Exchange Commission.